

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-02-28
2. **Agency:** 393
3. **Bureau:** 00
4. **Name of this Investment:** Order Fulfillment and Accounting System (OFAS)
5. **Unique Project (Investment) Identifier (UPI):** 393-00-01-01-01-0012-00
6. **What kind of investment will this be in FY 2012?:** Operations and Maintenance
 - Planning
 - Full Acquisition
 - Operations and Maintenance
 - Mixed Life Cycle
 - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2004

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The National Archives and Records Administration (NARA) Order Fulfillment and Accounting System (OFAS) is a software solution used by the NARA Trust Fund to account for revenue generated by customer requests. OFAS comprises a number of software applications that integrate with one another to a common database. This combination of applications is known as OFAS and it is deployed at more than 25 sites around the country. First deployed in September 1999, OFAS fully replaced the Service Order System (SOS) in May 2000. OFAS also provides an integrated Point of Sale solution and an eCommerce site with real time inventory management. In addition to replacing the existing functionality found in the SOS system and providing Point of Sale functionality, OFAS provides support for NATF Form 80s (forms used to order copies of (1) Ship Passenger Arrival Records (2) Census Records (3) Eastern Cherokee Applications (4) Land Entry Files (5) Federal Pension or Bounty Land Warrant Applications and (6) Military Service Records) and NATF Form 72 (used for other reproduction orders) processing through a variety of applications, including form image scanning, intranet web order entry, and workflow order tracking using the Siebel Order Online solution. OFAS is built upon two COTS products, Microsoft Great Plains and Compass Technologies Point of Sale. OFAS fulfills NARAs agency gap of needing a system to collect and record money received from the public.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
Privacy Impact Assessment	http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/ofas-pia.pdf
NARA Privacy Act Systems: NARA 25 System Name: Order Fulfillment and Accounting System Records (OFAS)	http://www.archives.gov/foia/privacy-act/nara-25.html
NARA Records Schedule - Chapter 18: National Archives Trust Fund	http://www.archives.gov/about/records-schedule/chapter-18.html

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2010-09-07
- b. **Provide the date of the most recent or planned approved project charter.** 2010-08-17

10. **Contact information?**

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Larry Post
Phone Number: *
Email: *

11. **What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 6

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	8800	NAMA-09-F-0046	GS-35F-0275V	NAMA-09-Q-0027	*	*	\$3.9	Combination (two or more)	Y	2009-05-21	2011-05-31	Y	OFAS support services

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- c. Was the Acquisition Plan approved in accordance with agency requirements *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. We are collecting statistical data relating to the usage and performance of our application servers, which we will use to evaluate cloud computing alternatives.
3. Provide the date of the most recent or planned Quality Assurance Plan 2010-06-18
4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 393-00-01-04-01-0005-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). 393-00-02-00-01-0008-00
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 1998-03-26
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-06-07

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
System Development and Implementation	DME	*	\$4.2	\$4.2	2002-12-01	2002-12-01	2003-11-30	2003-11-30	100.00%	100.00%
FY 2004 Operations and Maintenance	SS	*	\$0.9	\$0.8	2003-12-01	2003-12-01	2004-11-30	2004-11-30	100.00%	100.00%
FY 2005 Operations and Maintenance	SS	*	\$1.0	\$0.9	2004-12-01	2004-12-01	2005-11-30	2005-11-30	100.00%	100.00%
FY 2006 Operations and Maintenance	SS	*	\$1.0	\$0.7	2005-12-01	2005-12-01	2006-11-30	2006-11-30	100.00%	100.00%
FY 2007 Operations and Maintenance	SS	*	\$1.0	\$0.8	2006-12-01	2006-12-01	2007-11-30	2007-11-30	100.00%	100.00%
FY 2008 Operations and Maintenance	SS	*	\$0.7	\$0.7	2007-12-01	2007-12-01	2008-11-30	2008-11-30	100.00%	100.00%
FY 2009 Operations and Maintenance	SS	*	\$1.1	\$1.0	2008-12-01	2008-12-01	2010-05-31	2010-05-31	100.00%	100.00%
FY 2010 Operations and Maintenance	SS	*	\$0.8	\$0.7	2010-06-01	2010-06-01	2011-05-31	2011-05-31	100.00%	100.00%
FY 2011 Operations and Maintenance	SS	*	\$0.8	\$0.1	2011-06-01	2011-06-01	2012-05-31		8.00%	8.00%
FY 2012 Operations and Maintenance	SS	*	*	*	2012-06-01	*	2013-05-31	*	*	*
FY 2013 Operations and Maintenance	SS	*	*	*	2013-06-01	*	2014-05-31	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

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FY 2014 Operations and Maintenance	SS	*	*	*	2014-06-01	*	2015-05-31	*	*	*
FY 2015 Operations and Maintenance	SS	*	*	*	2015-06-01	*	2016-05-31	*	*	*
FY 2016 Operations and Maintenance	SS	*	*	*	2016-06-01	*	2017-05-31	*	*	*
FY 2017 Operations and Maintenance	SS	*	*	*	2017-06-01	*	2018-05-31	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2010-06-07

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Mission and Business Results	Customer Service	Average order completion time (days)	monthly	Number of days	Decrease	14.1 days	2006-10-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	Decreases by 1 day	Increased by 3.3 days	Not Met	2010-09-17
			2008	Decreases by 1 day	Increased by 8.6 days	Not Met	2010-09-17
			2009	Decreases by 1 day	Increased by 3.6 days	Not Met	2010-09-17
			2010	Decreases by 1 day	Decreased by 1 day	Met	2011-02-25
			2011	Deactivated	NA	Not Due	2011-03-04
Processes and Activities	Cycle Time	Average order completion time (days)	annual	Number of Days	Decrease	TBD	2010-10-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Decreases by 1 day.	TBD	Not Due	2011-03-04
			2012	Decreases by 1 day.	TBD	Not Due	2011-03-04
			2013	Decreases by 1 day.	TBD	Not Due	2011-03-04
			2014	Decreases by 1 day.	TBD	Not Due	2011-03-04

Customer Results	Delivery Time	Complete a Percentage of Fixed Fee Reproduction orders in 20 working days or less.					
			2015	Decreases by 1 day.	TBD	Not Due	2011-03-04
			2016	Decreases by 1 day.	TBD	Not Due	2011-03-04
			2017	Decreases by 1 day.	TBD	Not Due	2011-03-04
			monthly	Percent of fixed fee orders	Increase	72.06%	2007-10-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2008	Increases to 74%	67.79%	Not Met	2010-09-17
			2009	Maintain 90%	90.47%	Met	2010-09-17
			2010	Maintain 90%	95.66%	Met	2011-02-25
			2011	Deactivated	NA	Not Due	2011-03-04
Mission and Business Results	Reporting and Information	Conduct annual assessment of product profitability and cost recovery.	annual	Cost Recover	Increase	TBD	2010-10-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Increase	TBD	Not Met	2011-03-04
			2012	Increase	TBD	Not Met	2011-03-04

Processes and Activities	Costs	Decrease the average cost to process a Fixed Fee Reproduction order.	2013	Increase	TBD	Not Met	2011-03-04
			2014	Increase	TBD	Not Met	2011-03-04
			2015	Increase	TBD	Not Met	2011-03-04
			2016	Increase	TBD	Not Met	2011-03-04
			2017	Increase	TBD	Not Met	2011-03-04
			annual	Pre-order cost	Decrease	\$30.59	2009-10-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2009	Decreases by \$0.25	Increased by \$7.47	Not Met	2010-09-17
			2010	Decreases by \$0.25	Increased by \$9.90	Not Met	2011-02-25
			2011	Deactivated	NA	Not Due	2011-03-04
Technology	Availability	Percentage of time that internal networks are available.	monthly	Percentage of Time	Maintain	99.85%	2006-10-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	99.9%	99.8%	Not Met	2010-09-17
			2008	99.9%	99.9%	Met	2010-09-17
			2009	99.9%	99.9%	Met	2010-09-17

2010	Maintain 99.9%	99.9%	Met	2011-02-25
2011	Maintain 99.9%	TBD	Not Due	2011-03-04
2012	Maintain 99.9%	TBD	Not Due	2011-03-04
2013	Maintain 99.9%	TBD	Not Due	2011-03-04
2014	Maintain 99.9%	TBD	Not Due	2011-03-04
2015	Maintain 99.9%	TBD	Not Due	2011-03-04
2016	Maintain 99.9%	TBD	Not Due	2011-03-04
2017	Maintain 99.9%	TBD	Not Due	2011-03-04
annual	Percentage of Users	Increase	TBD	2010-10-30
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
2011	75%	TBD	Not Due	2011-03-04
2012	77%	TBD	Not Due	2011-03-04
2013	79%	TBD	Not Due	2011-03-04
2014	81%	TBD	Not Due	2011-03-04

2015	82%	TBD	Not Due	2011-03-04
2016	83%	TBD	Not Due	2011-03-04
2017	84%	TBD	Not Due	2011-03-04

* - Indicates data is redacted.